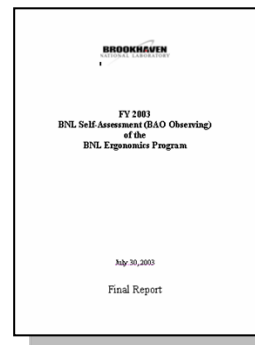


<b>BROOKHAVEN NATIONAL LABORATORY</b> Safety & Health Services Division - Standard Operating Procedure		Number	<b>HP40500</b>
		Revision	Final Rev0
Subject:	<b>Conducting Safety &amp; Health Assessments</b>	Date	03/01/13
		Page	1 of 12

# Conducting Safety & Health Assessments

## Contents

- 1.0 Purpose & Scope
- 2.0 Responsibilities
- 3.0 Definitions
- 4.0 Prerequisites
- 5.0 Precautions
- 6.0 Procedure/ Equipment
- 7.0 Implementation and Training
- 8.0 References
- 9.0 Attachments
- 10.0 Documentation



## 1.0 Purpose & Scope

This document describes the process of conducting Self-Assessments of Safety & Health (S&H) subject areas. The goal of the procedure is to provide a uniform methodology and protocol to ensure high quality Programmatic/Compliance Assessments & Limited Scope/Targeted Assessments by SHSD Industrial Hygiene (IH), Safety Engineering (SE), and Field Services (FS) personnel. Surveillances and compliance inspections are covered in other procedures such as DH-SOP-008 and SHR40100.

## 2.0 Responsibilities

- 2.1 The IH, SE, and FS Managers plan the schedule for assessments of their program areas and assign staff to serve as *Assessors*.
- 2.2 *Assessors* follow this procedure in planning, conducting, reporting results, and tracking the status of assessments.

## 3.0 Definitions

**Major Noncompliance/nonconformance:** A system element missing, or there is evidence that a system element is not implemented or not effective. Multiple minor nonconformances may be grouped together as a major, if they are all examples of the same type of nonconformance.

**Minor Noncompliance/nonconformance:** A single observed lapse in a procedure or requirement, with evidence that the overall system requirement is defined, implemented, and effective.

**Opportunity for Improvement:** A minor occurrence of not meeting a regulatory driver or best management practice. It may also include a recommendation of a possible program improvement.

<b>BROOKHAVEN NATIONAL LABORATORY</b> Safety & Health Services Division - Standard Operating Procedure		Number	<b>HP40500</b>
		Revision	Final Rev0
Subject:	<b>Conducting Safety &amp; Health Assessments</b>	Date	03/01/13
		Page	2 of 12

**Observation:** Not a nonconformance, but something that could lead to a nonconformance, if allowed to continue uncorrected; or an existing condition without adequate supporting evidence to verify that it constitutes a nonconformance.

**Noteworthy Practice:** Performance that exceeds expectations in terms of efficiency and/or effectiveness and provides a model for others to follow. A noteworthy practice is a positive condition or strength.

**Issues hierarchy:**

Level of Severity	ESH Directorate/ SHSD	OHSAS 18001/EMS14001	BHSO
<b>Highest</b>	Major non-conformance	Major non-conformance	Level 1 Finding
<b>Moderate</b>	Minor non-conformance	Minor non-conformance	Level 2 Finding
<b>Low</b>	Opportunity for Improvement	Opportunity for Improvement	Level 3 Finding
	Observation		
<b>Positive Practice</b>	Noteworthy Practice	Noteworthy Practice	Noteworthy Practice

**4.0 Prerequisites** Assessors must have subject matter expert knowledge of the topic to be assessed.

## 5.0 Precautions

**Personal Protective Equipment:** The use of personal protective equipment to protect the assessor is required when field reviews are done in areas with hazards. Appropriate personal protective equipment must be obtained, qualified, and used. Follow the Area-based PPE requirements on the Hazard Information Placard.

## 6.0 Procedure

### 6.1 Plan Assessments:

- The IH/SE/FS Managers select and plan the topics for periodic review in a 5-yr Assessment Plan. The plan is officially maintained on the SHSD website. (See Attachment 9.1 for an example of the 5-yr plan.)
- Applicable topics from the 5-yr Plan are incorporated each year into the annual ESHD and SHSD Business Plans.

### 6.2 Conduct Assessments:

- Schedule an assessment:** The Assessor plans an assessment to meet the due date. A formal schedule can be used, such as the example in *Attachment 9.2: Compliance Self-Assessment Schedule*.
- Scope an assessment:** The Assessor determines the scope of the assessment (e.g. what drivers apply, program elements to be reviewed, organizations to be reviewed, assessment team members, duration, etc.).

<b>BROOKHAVEN NATIONAL LABORATORY</b> Safety & Health Services Division - Standard Operating Procedure		Number	<b>HP40500</b>
		Revision	Final Rev0
Subject:	<b>Conducting Safety &amp; Health Assessments</b>	Date	03/01/13
		Page	3 of 12

- **Prepare Assessment checklist(s):** The Assessor prepares an assessment checklist(s) based on regulatory drivers and best management practices. See *Appendix 9.3* for an example of an Assessment Checklist. The checklist should contain at a minimum:
  - List of questions or items to be inspected (ideally, in a “yes/no” format)
  - Log of persons interviewed
  - Log of areas toured/inspected
  - Log of documents reviewed (with revision date or number).
- **Conduct Assessments:** The Assessor conducts reviews for compliance with applicable regulatory driver(s) using the checklist.
  - **Written Program:** Review SBMS Subject Area(s), SOP(s), training curriculum, forms, inventories, etc.
  - **Service Delivery:** Review internal services providers who support the subject area (e.g. Check qualifications of S&H professions & inspectors, medical surveillance/approval process, protective equipment specifications, PPE issuance, hazard assessments, exposure monitoring, etc.).
  - **Line Implementation Field Review:** Review line organization’s documentation and performance of operations in compliance with requirements. This typically involves touring facilities to observe worker knowledge and compliance with SBMS requirements.

- 6.3 **Prepare Assessment Report:** The Assessor prepares the following documents:
- *Factual Accuracy Draft Self-Assessment Report* which is circulated to those assessed for review and comment. [See Attachment 9.4 for the recommended content of the Assessment Report.]
  - *Final Self-Assessment Report* when all issues with the draft are resolved.

- 6.4 **Prepare Corrective Action Plan:** If there are conditions that need correction from Assessments the Assessor prepares:
- *Draft Corrective Action Plan* which is circulated to all organizations with an action for consensus.
  - *Final Corrective Action Plan* when all issues with the draft are resolved.
  - Causal Analysis and Extent of Condition analysis if indicated per requirements in the *Event and Issues* Subject Area.

- 6.5 **Prepare ATS Entry:** The SME prepares *ATS* wording for concerns/finding in the CAP and submits for entry into the Activity Tracking System (ATS) entry.

Note: The CAP and ATS entry can be used for S&H Surveillances when issues discovered during the can not be effectively addressed by informing the owner of the issue at the time of the surveillance.

- 6.6 **Retain assessment records:**

<b>BROOKHAVEN NATIONAL LABORATORY</b> Safety & Health Services Division - Standard Operating Procedure		Number	<b>HP40500</b>
		Revision	Final Rev0
Subject:	<b>Conducting Safety &amp; Health Assessments</b>	Date	03/01/13
		Page	4 of 12

- *Final Assessment Report, SHSD Reports and Corrective Action Plans* are sent for inclusion in the ATS record. ATS is the official record management location for SHSD Assessments and documents.
- Electronic files & hardcopy can be retained as unofficial records at the discretion of the assessor. These records need to be destroyed at 75 years from the date of creation.
- *Working papers* (e.g. copies of documents reviewed, field sheets, hand written notes, e-mail discussions, draft reports, factual accuracy drafts, etc.) should be discarded at the end of the assessment. If retained, these records need to be destroyed at 75 years from the date of creation.

## 7.0 Implementation and Training

**Qualification Criteria:** Individuals who have demonstrated knowledge of this procedure and the subject to be assessed can be qualified as an *Assessor*. Qualification is documented by completion of the attached *Job Performance Measure* or by examination.

## 8.0 References

- 8.1 Industrial Hygiene Auditing: A Manual for Practice, A. Leibowitz, AIHA Publications, 1994.
- 8.2 DH-SOP-008: ESH Directorate: *Conduct an ESH Procedure*.
- 8.3 *Events & Issues Management* Subject Area.

## 9.0 Attachments

- 9.1 Sample of SHSD 5-yr Assessment Plan
- 9.2 Sample *Project Schedule*
- 9.3 Sample of *Assessment Checklist*
- 9.4 Recommended Format & Contents of an Self-Assessment Report and Corrective & Preventative Action Plan
- 9.5 Regulatory Basis for Frequency of Self-Assessments
- 9.6 Job Performance Measure Qualification Form

## 10.0 Documentation

Document Development and Revision Control Tracking		
Prepared By: R. Selvey Date 02/26/13 IH Manager	Reviewed By: J. Ellerkamp 03/01/13 SE Manager J. Peters 03/01/13 FS Manager	Approved By: E. Nowak 03/01/13 SHSD Manager
ESH Coordinator/ Date: <i>none</i>	Work Coordinator/ Date: <i>none</i>	SHSD Manager/ Date (see above)
Facility Support Rep. / Date: <i>none</i>	Environ. Compliance Rep. / Date: <i>none</i>	Safety & Health Rep/Date: <i>none</i>
QA Representative / Date: M. Pizzulli 07/15/06	Training Coordinator / Date: <i>none</i>	<i>Other: none</i>
ISM Review - Hazard Categorization <input type="checkbox"/> High <input type="checkbox"/> Moderate <input checked="" type="checkbox"/> Low/Skill of the craft	Validation: <input type="checkbox"/> Formal Walkthrough <input type="checkbox"/> Desk Top Review <input type="checkbox"/> SME Review	Original Effective Date: IH40500 : 11/04/03 HP40500: 03/01/13

The only official copy is on-line at the SHSD website.  
Before using a printed copy, verify that it is current by checking the document issue date on the website.

<b>BROOKHAVEN NATIONAL LABORATORY</b> Safety & Health Services Division - Standard Operating Procedure		Number	<b>HP40500</b>
		Revision	Final Rev0
Subject:	<b>Conducting Safety &amp; Health Assessments</b>	Date	03/01/13
		Page	5 of 12

Revision Log	
IH40500 Rev1: Periodic review	Description of change: Added Attachment 9.6 the JPM for Qualification of Assessor. Revised the format of section 10 to most recent version. Reviewed the document and no changes were indicated. Reviewer/Date: R. Selvey 07/12/06
IH40500 Rev2: Clarify/enhance procedural controls.	Description of change: Major re-write to combine IH40510 and IH40520 and streamline the documentation checklists. Reviewer/Date: R. Selvey 09/08/09
IH40500 Rev3: Clarify/enhance procedural controls.	Description of change: Merger of IH40500 and 40510 with transfer of 5-yr plan as Attachment 9.1. Reviewer/Date: R. Selvey 10/08/09
IH40500 Rev4: Clarify/enhance procedural controls.	Description of change: Revision to update the record keeping porting in section 6. Reviewer/Date: R. Selvey 10/14/09
IH40500 Rev5: Clarify/enhance procedural controls.	Description of change: Major revision includes "surveillances" and streamlines the process for assessments. Reviewer/Date: R. Selvey 02/94/11
HP40500 Rev0: Expanded scope to add Se and FS functions.	SME Reviewer/Date: R. Selvey 02/26/13

The only official copy is on-line at the SHSD website.  
Before using a printed copy, verify that it is current by checking the document issue date on the website.

<b>BROOKHAVEN NATIONAL LABORATORY</b> Safety & Health Services Division - Standard Operating Procedure		Number	<b>HP40500</b>
		Revision	Final Rev0
Subject:	<b>Conducting Safety &amp; Health Assessments</b>	Date	03/01/13
		Page	6 of 12

## Attachment 9.1

### Sample of the SHSD 5-yr Assessment Plan

Assessments	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	Driver	Owner	
Biohazards: <a href="#">Biosafety in Research</a> ; <a href="#">Bloodborne Pathogen</a>	<div><div>IS</div><div></div></div>	-	<div><div>ISB</div><div></div></div>	-	-	-	<div><div></div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div></div>	<div><div>ODC</div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div></div>	-	-	<div><div>B</div><div></div></div>	-	-	10CFR851 29CFR1910.1030	NMB	
Chemicals: <a href="#">Chemicals</a> ; Toxic Metals ( <a href="#">Pb</a> , <a href="#">Bi</a> ); Confined Spaces	<div><div>IS</div><div></div><div>IS</div></div>	<div><div>ISB</div><div></div><div>ISB</div></div>	<div><div>ISB</div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div><div>ISB</div></div>	<div><div></div><div></div></div>	<div><div>ISB</div><div></div></div>	<div><div></div><div></div></div>	<div><div>ISB</div><div></div></div>	<div><div>ISB</div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div></div>	-	<div><div>A</div><div></div></div>	-	<div><div>A</div><div></div></div>	-	29CFR1910.1000-1052 29CFR1910.1200 29CFR1910.1450 29CFR1910.1025 29CFR1926.59-64 29CFR1926.1102-1152 10CFR850 10CFR851	RLS/ NMB
Construction: <a href="#">Construction Safety</a> ; CVO; <a href="#">Excavation</a>	-	-	<div><div>ISB</div><div></div></div>	-	-	-	-	<div><div></div><div></div></div>	-	-	<div><div>ISB</div><div></div><div>ISB</div><div></div><div>ISB</div><div></div><div>ISB</div><div></div></div>	<div><div>ISB</div><div></div><div>ISB</div><div></div><div>ISB</div><div></div></div>	-	<div><div></div><div></div></div>	<div><div></div><div></div></div>	-	-	<div><div>A</div><div></div></div>	-	10CFR851 29CFR1926	THC
Energy Controls: <a href="#">Interlocks</a> ; <a href="#">LOTO</a> ; <a href="#">Electrical</a> ; Electrical Tool Box	-	<div><div></div><div></div></div>	-	<div><div>ISB</div><div></div></div>	<div><div>ISB</div><div></div></div>	<div><div>ISB</div><div></div><div>ISB</div><div></div><div>ISB</div><div></div></div>	-	<div><div>ISB</div><div></div></div>	<div><div>ISB</div><div></div></div>	-	<div><div>ISB</div><div></div><div>ISB</div><div></div><div>ISB</div><div></div><div>ISB</div><div></div></div>	<div><div>ISB</div><div></div><div>ISB</div><div></div><div>ISB</div><div></div></div>	<div><div>ISB</div><div></div></div>	<div><div>ISB</div><div></div></div>	-	<div><div>A</div><div></div></div>	-	-	<div><div>A</div><div></div></div>	10CFR851 29CFR1910.301-336 29CFR1910.137 29CFR1910.147 29CFR1926.400-449 NFPA70E	RB
Facility Safety: <a href="#">Fall Protection</a> ; <a href="#">Walking &amp; Working Surfaces</a>	-	-	-	-	-	-	-	-	-	<div><div>ISB</div><div></div></div>	<div><div>ISB</div><div></div></div>	-	<div><div></div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div></div>	-	<div><div>A</div><div></div></div>	-	29CFR1910.21-30 29CFR1926.104-107 29CFR1926.1050	MG
Material Handling: <a href="#">Lifting</a> ; <a href="#">Forklift</a> ; <a href="#">Aerial Lifts</a> ; HEMO	-	-	-	-	-	<div><div></div><div></div></div>	-	<div><div>ISB</div><div></div></div>	-	<div><div>ISB</div><div></div></div>	<div><div>ISB</div><div></div></div>	<div><div>ISB</div><div></div></div>	<div><div>ISB</div><div></div></div>	<div><div>ISB</div><div></div></div>	<div><div>ISB</div><div></div></div>	-	<div><div>A</div><div></div></div>	-	-	29CFR1910.66-68 29CFR1910.176-184 29CFR1926.250-252 29CFR1926.450-456 29CFR1926.1400-1501	MG
Nanoscale Particles	-	-	-	-	-	-	-	-	-	<div><div></div><div></div></div>	<div><div>ISB</div><div></div></div>	-	<div><div>ISB</div><div></div></div>	-	-	<div><div>B</div><div></div></div>	-	<div><div>B</div><div></div></div>	DOE	JWP	
Noise & Hearing Conservation	-	<div><div>ISB</div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div></div>	<div><div>ISB</div><div></div></div>	-	<div><div></div><div></div></div>	<div><div>ISB</div><div></div></div>	-	<div><div></div><div></div></div>	-	<div><div></div><div></div></div>	<div><div>B</div><div></div></div>	-	-	<div><div>B</div><div></div></div>	-	10CFR851 29CFR1910.95	CW
NIR; Static Magnetic Fields; Lasers	<div><div>IS</div><div></div></div>	<div><div>ISB</div><div></div><div>ISB</div><div></div><div>ISB</div><div></div></div>	-	-	<div><div>ISB</div><div></div></div>	<div><div>ISB</div><div></div></div>	<div><div>ISB</div><div></div><div>ISB</div><div></div><div>ISB</div><div></div></div>	<div><div>ISB</div><div></div></div>	<div><div>ISB</div><div></div></div>	<div><div>ISB</div><div></div></div>	<div><div>ISB</div><div></div></div>	<div><div>ISB</div><div></div></div>	-	-	-	<div><div>B</div><div></div></div>	-	-	<div><div>B</div><div></div></div>	10CFR851 29CFR1910.97 29CFR1926.54	CW
Physical Hazards: <a href="#">Cryogenics</a> ; <a href="#">ODH</a> ; <a href="#">Compressed Gas</a> ; <a href="#">Pressure</a> ; <a href="#">Explosives</a>	-	-	-	-	-	-	-	-	-	<div><div>ISB</div><div></div></div>	<div><div>ISB</div><div></div></div>	<div><div>ISB</div><div></div></div>	<div><div>ISB</div><div></div></div>	<div><div></div><div></div></div>	-	<div><div>A</div><div></div></div>	-	-	29CFR1910.101-105 29CFR1901.109 29CFR1910.144	MG	
Limited Scope/Targeted Assessments/Surveillances	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	Driver	Owner	
<a href="#">Asbestos</a>	-	-	-	-	<div><div>ISB</div><div></div></div>	<div><div></div><div></div></div>	-	-	<div><div>ISB</div><div></div></div>	-	-	<div><div></div><div></div></div>	-	-	<div><div>B</div><div></div></div>	-	-	<div><div>B</div><div></div></div>	29CFR1901.1001 29CFR1926.1101	RLS	
<a href="#">Aviation</a> ; <a href="#">Diving</a> ; <a href="#">Marine</a> ; <a href="#">Traffic</a>	-	-	-	-	-	-	-	<div><div>ISB</div><div></div></div>	-	-	-	-	<div><div>ISB</div><div></div></div>	-	-	-	<div><div>C</div><div></div></div>	-	-	29CFR1910.401-441 29CFR1926.600-606 29CFR1926.1071-1091	FTH
<a href="#">BBP Exp Control Plan Review</a>	-	-	-	-	-	-	<div><div></div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div></div>	<div><div>R</div><div></div></div>	<div><div>R</div><div></div></div>	<div><div>R</div><div></div></div>	<div><div>R</div><div></div></div>	<div><div>R</div><div></div></div>	29CFR1910.1030	NMB
<a href="#">Chemical Hygiene Plan Review</a>	<div><div>ISB</div><div></div></div>	-	-	<div><div></div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div></div>	<div><div>R</div><div></div></div>	<div><div>R</div><div></div></div>	<div><div>R</div><div></div></div>	<div><div>R</div><div></div></div>	<div><div>R</div><div></div></div>	29CFR1910.1450	RLS
<a href="#">Confined Space Permits</a> Cancelled Permits	<div><div>IS</div><div></div></div>	<div><div>ISB</div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div></div>	<div><div>ISB</div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div><div>ISB</div><div></div><div>ISB</div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div></div>	<div><div>R</div><div></div></div>	<div><div>R</div><div></div></div>	<div><div>R</div><div></div></div>	<div><div>R</div><div></div></div>	<div><div>R</div><div></div></div>	29CFR1910.146	MM
<a href="#">Ergonomics</a>	-	-	-	<div><div>ISB</div><div></div></div>	-	-	-	-	-	<div><div>ISB</div><div></div></div>	<div><div>ISB</div><div></div></div>	-	-	-	-	-	<div><div>C</div><div></div></div>	-	-	none	FTH
<a href="#">Exhaust Ventilation</a>	<div><div>ISB</div><div></div></div>	-	<div><div></div><div></div></div>	-	-	-	-	<div><div>ISB</div><div></div></div>	<div><div></div><div></div></div>	<div><div></div><div></div></div>	-	-	<div><div></div><div></div></div>	-	-	<div><div>B</div><div></div></div>	-	<div><div>B</div><div></div></div>	29CFR1910.94 29CFR1926.57	WLL	
<a href="#">IAQ</a>	-	-	-	-	-	-	-	-	<div><div></div><div></div></div>	-	-	-	<div><div></div><div></div></div>	<div><div></div><div></div></div>	-	-	-	-	<div><div>C</div><div></div></div>	none	RLS
<a href="#">Heat Stress</a>	-	-	-	-	-	-	<div><div></div><div></div></div>	-	-	-	-	-	<div><div></div><div></div></div>	-	-	-	-	<div><div>C</div><div></div></div>	-	10CFR851	RLS
<a href="#">Machine Shops</a>	-	-	-	-	-	<div><div>ISB</div><div></div></div>	-	-	-	-	-	-	-	<div><div></div><div></div></div>	<div><div>B</div><div></div></div>	-	-	<div><div>B</div><div></div></div>	-	29CFR1910.211-219 29CFR1910.241-244	WLL

<b>BROOKHAVEN NATIONAL LABORATORY</b> Safety & Health Services Division - Standard Operating Procedure		Number	<b>HP40500</b>
		Revision	Final Rev0
Subject:	<b>Conducting Safety &amp; Health Assessments</b>	Date	03/01/13
		Page	7 of 12

## Attachment 9.2

### Sample of an Assessment Project Schedule

	Task	Assigned to:	Duration	
<b>1.0</b>	<b>Pre-Assessment Assistance to BNL Organizations</b>			
1.1	Plan the assessment in the SHSD Assessment 5-yr Plan	SE, IH, FS Managers	(1 day)	
1.2	Scope the assessment, assessor(s) & schedule	SE, IH, FS Managers	(2 hours)	
1.3	Announce assessment to organizations & schedule field reviews.	Assessor	(2 hours)	Typically done as part of ESH Directorate Multiple topic/EMS/OHSAS Assessments
1.4	Offer preparation meetings as requested by line organizations	Assessor	(as needed)	
1.5	Prepare assessment checklists based on contractual/regulatory drivers	Assessor	(5 days)	
<b>2.0</b>	<b>Self-Assessment</b>			
2.1	Conduct "In Brief" (pre-review) meeting with BNL managers (if requested).	Assessor	(2 hours)	
2.3	Conduct BNL written program vs. regulatory driver(s) review	Assessor	(4 days)	<b>Milestone</b>
2.5	Conduct field implementation reviews (inspections) of line organization operations	Assessor	(14 days)	<b>Milestone</b>
<b>3.0</b>	<b>Self-Assessment Report &amp; Corrective Action Plan Preparation</b>			
3.1	Conduct "Out Brief" meeting (if requested by BNL management).	Assessor	(1 day)	
3.2	Prepare <i>Factual Accuracy Draft Assessment report</i>	Assessor	(5 days)	<b>Milestone</b>
3.3	Distribute <i>F/A Draft</i> to impacted organizations for review & comment	Assessor	(2 hours)	
3.4	<i>F/A Draft</i> comment period	Line Orgs	(7-10 days)	
3.5	Resolve issues with <i>F/A Draft</i> and issue <i>Final Assessment Report</i>	Assessor	(3 days)	<b>Milestone</b>
3.6	Prepare <i>Draft Corrective Action Plan (CAP)</i>	Assessor	3 days	
3.7	Distribute <i>Draft CAP</i> to organizations with actions for comment	Assessor	1 day	
3.8	Comment period on <i>Draft CAP</i>	Line Orgs	(7-10 days)	
3.9	Resolve issues with <i>Draft CAP</i> and issue <i>Final Corrective Action Plan</i>	Assessor	3 days	<b>Milestone</b>
3.10	Prepare <i>ATS</i> wording for concerns/finding in the CAP and submit for entry.	Assessor	2 days	<b>Final Milestone</b>
			30+ days	

The only official copy is on-line at the SHSD website.  
Before using a printed copy, verify that it is current by checking the document issue date on the website.

<b>BROOKHAVEN NATIONAL LABORATORY</b> Safety & Health Services Division - Standard Operating Procedure		Number	<b>HP40500</b>
		Revision	Final Rev0
Subject:	<b>Conducting Safety &amp; Health Assessments</b>	Date	03/01/13
		Page	8 of 12

## Attachment 9.3

### Sample of Self-Assessment Checklist

ESH Directorate- SHSD Industrial Hygiene Multiple-Topic Assessment FY13 Self-Assessment Checklist		Form Rev: 02/07/13	page 1 of 2																																																									
LINE ORGANIZATION IMPLEMENTATION REVIEW																																																												
Topical Areas:	<input type="checkbox"/> BBP Exposure Control Plan <input type="checkbox"/> Confined Spaces- Cancelled 2C Permits		<input type="checkbox"/> Noise & Hearing Conservation <input type="checkbox"/> Biosafety in Research																																																									
Organization:		Dept/Div Code:																																																										
Assessor(s):		Assessment Date:																																																										
<table border="1"> <tr> <td><b>1. Noise &amp; Hearing Conservation Program Assessment</b></td> <td><input type="checkbox"/> N/A</td> <td>Y</td> <td>N</td> </tr> <tr> <td>a. Areas are posted or other mechanism is used to inform workers of the PPE restrictions/ requirements: Mechanism: <input type="checkbox"/> Door Posting <input type="checkbox"/> Other:</td> <td></td> <td></td> <td></td> </tr> <tr> <td>b. Selection of PPE is formally certified &amp; PPE is appropriate for the degree of risk.</td> <td></td> <td></td> <td></td> </tr> <tr> <td>c. Workers are knowledgeable in the PPE controls in place and use proper PPE for area and/or operations. Observed or reviewed the following PPE usage:</td> <td></td> <td></td> <td></td> </tr> <tr> <td><input type="checkbox"/> Muffs <input type="checkbox"/> Plugs <input type="checkbox"/> Canal bands</td> <td>-</td> <td>-</td> <td></td> </tr> <tr> <td><input type="checkbox"/> Combo Muff/Plugs <input type="checkbox"/> Cancelling Muffs <input type="checkbox"/></td> <td>-</td> <td>-</td> <td></td> </tr> <tr> <td>Other:</td> <td></td> <td></td> <td></td> </tr> <tr> <td>d. Users are trained in PPE: limitation, donning, use-period, when needed, where needed, proper care, disposal. <input type="checkbox"/> Training is documented. Workers are retrained when reason to believe misunderstanding or lack of skill</td> <td></td> <td></td> <td></td> </tr> <tr> <td>e. PPE is stored in proper manner PPE is appropriately maintained between users</td> <td></td> <td></td> <td></td> </tr> <tr> <td>f. Exposure monitoring conducted to evaluate compliance with occupational exposure limits?</td> <td></td> <td></td> <td></td> </tr> <tr> <td>g. Where there incidents, off-normal occurrences, STS, or situations involving worker lack of knowledge of hazards and control in the last 24 months. How were they addressed?</td> <td></td> <td></td> <td></td> </tr> <tr> <td>h. Examples of worker feedback and mechanisms to obtain information from workers?</td> <td></td> <td></td> <td></td> </tr> <tr> <td>i. Examples of program improvements:</td> <td></td> <td></td> <td></td> </tr> <tr> <td colspan="4">Observation:</td> </tr> </table>					<b>1. Noise &amp; Hearing Conservation Program Assessment</b>	<input type="checkbox"/> N/A	Y	N	a. Areas are posted or other mechanism is used to inform workers of the PPE restrictions/ requirements: Mechanism: <input type="checkbox"/> Door Posting <input type="checkbox"/> Other:				b. Selection of PPE is formally certified & PPE is appropriate for the degree of risk.				c. Workers are knowledgeable in the PPE controls in place and use proper PPE for area and/or operations. Observed or reviewed the following PPE usage:				<input type="checkbox"/> Muffs <input type="checkbox"/> Plugs <input type="checkbox"/> Canal bands	-	-		<input type="checkbox"/> Combo Muff/Plugs <input type="checkbox"/> Cancelling Muffs <input type="checkbox"/>	-	-		Other:				d. Users are trained in PPE: limitation, donning, use-period, when needed, where needed, proper care, disposal. <input type="checkbox"/> Training is documented. Workers are retrained when reason to believe misunderstanding or lack of skill				e. PPE is stored in proper manner PPE is appropriately maintained between users				f. Exposure monitoring conducted to evaluate compliance with occupational exposure limits?				g. Where there incidents, off-normal occurrences, STS, or situations involving worker lack of knowledge of hazards and control in the last 24 months. How were they addressed?				h. Examples of worker feedback and mechanisms to obtain information from workers?				i. Examples of program improvements:				Observation:			
<b>1. Noise &amp; Hearing Conservation Program Assessment</b>	<input type="checkbox"/> N/A	Y	N																																																									
a. Areas are posted or other mechanism is used to inform workers of the PPE restrictions/ requirements: Mechanism: <input type="checkbox"/> Door Posting <input type="checkbox"/> Other:																																																												
b. Selection of PPE is formally certified & PPE is appropriate for the degree of risk.																																																												
c. Workers are knowledgeable in the PPE controls in place and use proper PPE for area and/or operations. Observed or reviewed the following PPE usage:																																																												
<input type="checkbox"/> Muffs <input type="checkbox"/> Plugs <input type="checkbox"/> Canal bands	-	-																																																										
<input type="checkbox"/> Combo Muff/Plugs <input type="checkbox"/> Cancelling Muffs <input type="checkbox"/>	-	-																																																										
Other:																																																												
d. Users are trained in PPE: limitation, donning, use-period, when needed, where needed, proper care, disposal. <input type="checkbox"/> Training is documented. Workers are retrained when reason to believe misunderstanding or lack of skill																																																												
e. PPE is stored in proper manner PPE is appropriately maintained between users																																																												
f. Exposure monitoring conducted to evaluate compliance with occupational exposure limits?																																																												
g. Where there incidents, off-normal occurrences, STS, or situations involving worker lack of knowledge of hazards and control in the last 24 months. How were they addressed?																																																												
h. Examples of worker feedback and mechanisms to obtain information from workers?																																																												
i. Examples of program improvements:																																																												
Observation:																																																												
<table border="1"> <tr> <td colspan="5"><b>2. Effectiveness of Corrective Actions from previous audits (within 24 months)</b></td> </tr> <tr> <td></td> <td>Subject Area</td> <td>Audit ID (ATS#)</td> <td>Issue(s)</td> <td>Effective Closure</td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> <td>N/A Y N</td> </tr> <tr> <td>a.</td> <td>Noise</td> <td></td> <td></td> <td></td> </tr> </table>					<b>2. Effectiveness of Corrective Actions from previous audits (within 24 months)</b>						Subject Area	Audit ID (ATS#)	Issue(s)	Effective Closure					N/A Y N	a.	Noise																																							
<b>2. Effectiveness of Corrective Actions from previous audits (within 24 months)</b>																																																												
	Subject Area	Audit ID (ATS#)	Issue(s)	Effective Closure																																																								
				N/A Y N																																																								
a.	Noise																																																											



The only official copy is on-line at the SHSD website.  
Before using a printed copy, verify that it is current by checking the document issue date on the website.

<b>BROOKHAVEN NATIONAL LABORATORY</b> Safety & Health Services Division - Standard Operating Procedure		Number	<b>HP40500</b>
		Revision	Final Rev0
Subject:	<b>Conducting Safety &amp; Health Assessments</b>	Date	03/01/13
		Page	9 of 12

### Attachment 9.3 (continued)

### Sample of Self-Assessment Checklist

ESH Directorate- SHSD Industrial Hygiene Multiple-Topic Assessment FY13 Self-Assessment Checklist		Form Rev: 02/07/13	page 2 of 2		
LINE ORGANIZATION IMPLEMENTATION REVIEW					
<b>Audit Documentation</b>					
<b>Documents Reviewed:</b>					
<b>Persons Interviewed:</b>					
<b>Areas Inspected:</b>					
<b>Additional Comments:</b>					
<b>Follow-up Issues:</b>					
<b>Summary of Non-conformances:</b>					
Topic	Finding	Major	Minor	OPI	Corrective
(end of form)					

<b>BROOKHAVEN NATIONAL LABORATORY</b> Safety & Health Services Division - Standard Operating Procedure		Number	<b>HP40500</b>
		Revision	Final Rev0
Subject:	<b>Conducting Safety &amp; Health Assessments</b>	Date	03/01/13
		Page	10 of 12

## Attachment 9.4

### Recommended Format & Content of a Self-Assessment Report & Corrective Action Plan

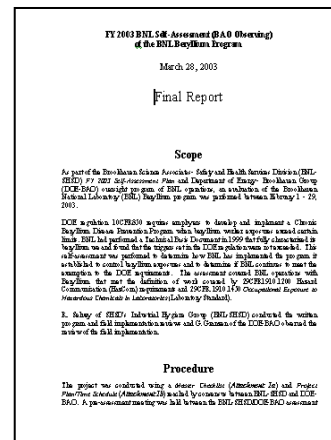
#### Assessment Report

**Scope:** A brief overview and summary (one to four paragraphs) describing the drivers, the date of the assessment, and the main topics addressed.

**Procedure:** Brief description of the procedure used to do the assessment, including links to checklists.

**Conclusion & Recommendations:** Detail description of “who and what” was assessed, what was found, and the extent of condition elsewhere (if known). Include with the report

- List of sites inspected
- List of documents reviewed
- List of persons interviewed
- Completed Checklists (optional)



#### Corrective and Preventative Action Plan

Overview and summary describing the Assessment, date of the assessment, and main topics addressed by the assessment, and the commitment to track the CAP in the BNL ATS.

Table of Corrective Actions (such as the following suggested format):

Assessment #:	<i>nnnn assigned by ATS</i>
Assessment Title:	<i>Fynn BNL Self-Assessment of the XXXX Program))</i>
Assessment Owner:	<i>Name of BNL employee, (usually the SHSD Manager)</i>
Assessment Viewing:	<i>Public or Private (Private = SHSD only; Public = SHSD + other organizations)</i>

Condition ID#	<i>nnnn.1</i>	
Condition Title:	<i>(Short description of the condition 60 characters or less)</i>	
Condition Description:		
Condition Owner:		
Condition Due Date:	<i>(longest due date of actions associated with this condition)</i>	
<i>(Action 1 associated with this condition)</i>	Action ID#	<i>nnnn.1.1</i>
	Action Title:	<i>(Short description of the action 60 characters or less)</i>
	Action Description:	
	Action Closure Date:	
	Owning Organization:	

<b>BROOKHAVEN NATIONAL LABORATORY</b> Safety & Health Services Division - Standard Operating Procedure		Number	<b>HP40500</b>
		Revision	Final Rev0
Subject:	<b>Conducting Safety &amp; Health Assessments</b>	Date	03/01/13
		Page	11 of 12

## Attachment 9.5

### Regulatory Basis for Frequency of Self-Assessments/Surveillances

#### **Mandated annual reviews:**

- Chemical Hygiene Plan [29CFR191.1450(e)(4)]
- Confined Space Cancelled Permit Review [29CFR191.146(d)(14)]
- Bloodborne Pathogen Exposure Control Plan [29CFR1910.1030(c)(1)(v) & (c)(1)(iv)(B)]

#### **Periodic reviews (unspecified frequency):**

- Respiratory Protection Program [29CFR1910.134 (c)(1)(ix); (c)(3.) & (l)(1.); ANSI Z88.2 (5.3)]
- Lasers [ANSI Z136.1 (1.3.2.8)]

#### **Reviews when there is reason to believe the program needs updating:**

- Asbestos- General Industry [29CFR1910.1001 (f)(2)]
- Beryllium [10CFR850.10(2)(c.) and 10CFR850.40(a)]

#### **Reviews of written exposure control plans triggered by over exposure to OSHA PELs:**

- Acrylonitrile [29CFR1910.1045 6 month revision cycle]
- Arsenic [29CFR1910.1018 6 month revision cycle]
- Benzene [29CFR1910.1028 revision cycle based on monitoring data]
- Butadiene, 1,3- [29CFR1910.1051 12 month revision cycle]
- Cadmium [29CFR1910.1027 12 month revision cycle]
- Ethylene Oxide [29CFR1910.1047 12 month revision cycle]
- Lead [29CFR1910.1025 and 29CFR1926.62 6 month revision cycle]
- Vinyl Chloride [29CFR1910.1017 6 month revision cycle]

#### **No regulatory requirements for program reviews:**

- Biohazard/Etiologic Agents [42CFR73; 7CFR331; 9CFR121; P434.1]
- HEPA testing [ANSI N510; N509]
- Local Exhaust Control Ventilation: [29CFR1910.94]
- Hazard Communication Program [29CFR1910.1200]
- Heat Stress [ACGIH TLV]
- Noise and Hearing Conservation Program [29CFR1910.95]
- Non-ionizing radiation [29CFR1910.95]

The only official copy is on-line at the SHSD website.  
Before using a printed copy, verify that it is current by checking the document issue date on the website.

<b>BROOKHAVEN NATIONAL LABORATORY</b> Safety & Health Services Division - Standard Operating Procedure		Number	<b>HP40500</b>
		Revision	Final Rev1
Subject:	<b>Safety &amp; Health Assessments &amp; Surveillances</b>	Date	02/26/13
		Page	12 OF 12

## Attachment 9.6

### HP-HPP-40500: Job Performance Measure Certificate

Candidate's Name	Life Number:
------------------	--------------

#### Practical Skill Evaluation

Criteria	Qualifying Performance Standard	Unsat.	Recov.	Satisf.
1. <b>Planning the assessment/surveillance</b>	Demonstrates knowledge of preparing a plan with the key assessment steps in <i>Attachment 9.2: Self-Assessment Schedule</i> .			
2. <b>Scoping the assessment/surveillance</b>	Demonstrates knowledge of the elements setting the proper <i>Scope of an assessment and selecting organization to assess</i>			
3. <b>Driver Review</b>	Demonstrates knowledge of preparing assessment checklists based on contractual drivers.			
4. <b>Written Program Review</b>	Demonstrates knowledge of reviewing written program (SBMS Subject Area, SOPS, etc.) for compliance with applicable regulatory driver(s).			
5. <b>Program Service Delivery Review</b>	Demonstrates knowledge of reviewing services providers for compliance with applicable regulatory driver(s).			
6. <b>Line Implementation Field Review</b>	Demonstrates knowledge of field implementation and compliance by line organizations.			
7. <b>Assessment Report</b>	Demonstrates knowledge of preparing a <i>Draft Self-Assessment report</i> , factual accuracy review, and <i>Final Self-Assessment Report</i> .			
8. <b>Corrective Action Plan</b>	Demonstrates knowledge of preparing a <i>Corrective Action Plan</i> . Knows to prepare <i>ATS</i> wording for concerns/findings.			

I accept the responsibility for performing this task as demonstrated within this JPM and the corresponding SOP.

Candidate Signature:	Date:
----------------------	-------

I certify the candidate has satisfactorily performed each of the above listed steps and is capable of performing the task unsupervised.

Evaluator Signature:	Date:
----------------------	-------